

02-15-01

A

PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box → □

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

J10378 U.S. PTO  
02/14/01**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Attorney Docket No.

390533

First Inventor

George T. Spitz, et al.

Title

ALKOXYMETHYL MELAMINE CROSSLINKERS

Express Mail Label No.

EL331153075US

(Only for new nonprovisional application under 37 CFR 1.53(b))

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 202311. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)7. ☐ CD-ROM or CD-R in duplicate, large table or Computer2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)3. ☒ Specification [Total Pages 26]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosurea. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); orii. ☐ paperc. ☐ Statements verifying identity of above copies4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]5. ☒ Oath or Declaration -- Unsigned [Total Pages 7]a. ☐ Newly executed (original or copy)b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).6. ☐ Application Data Sheet. See 37 CFR 1.76**ACCOMPANYING APPLICATION PARTS**9. ☐ Assignment Papers (cover sheet & document(s))10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)11. ☐ English Translation Document (if applicable)12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations13. ☐ Preliminary Amendment14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)16. ☐ Request And Certification Under 35 U.S.C. 122(b)(2)(B)(i)17. ☒ Other: Certificate of Mailing by Express Mail  
Check for \$710.00

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation☐ Divisional☐ Continuation (CIP)

of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**18. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

☐ Correspondence address below

Name

LATHROP &amp; GAGE, LC

Address

2345 Grand Boulevard

Suite 2800

City

Kansas City

State

Missouri

Zip Code

64108

Country

United States of America

Telephone

(816) 460-5849

Fax

(816) 292-2001

Name (Print/Type)

Kenneth D. Goetz

Registration No. (Attorney/Agent)

32,696

Signature

*Kenneth D. Goetz*

Date

February 14, 2001

J10378 U.S. PTO  
09/783233  
02/14/01

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	Not Assigned Yet
Filing Date	Filed Herewith
First Named Inventor	George T. Spitz, et al.
Examiner Name	Not Assigned Yet
Group Art Unit	Not Assigned Yet

**TOTAL AMOUNT OF PAYMENT**(\$)710.00

Attorney Docket No.

390533

**METHOD OF PAYMENT (check one)**

1. ☒ The commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account Number 12-0600  
 Deposit Account Name Lathrop & Gage LC  
☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Payment Enclosed:**  
☒ Check ☐ Credit Card ☐ Money Order  
☐ Other

**FEE CALCULATION****BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	<u>710</u>
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>					<u>710</u>

**EXTRA CLAIM FEES**

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
<u>16</u>	<u>2</u>		<u>-20** = 0</u>	<u>X</u>	<u>0</u>
			<u>-3** = 0</u>	<u>X</u>	<u>0</u>

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2) (\$)** 0.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use Proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional Applications	
126	240	126	240	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment Per property (times number of properties)	
146	710	246	355	Filing a submission after final Rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be Examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination Of a design application	

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) (\$)** 0.00

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Kenneth D. Goetz	Registration No. (Attorney/Agent)	32,696	Telephone	(816) 460-5849
Signature	<i>Kenneth D. Goetz</i>	Date	February 14, 2001		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

### ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above-mentioned specification, including the claims, as amended by any amendment referred to above (if any).

I acknowledge the duty to disclose all information known to me to be material to patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56 (a).

- ☐ and which is material to the examination of this application, namely, information where there is a substantial likelihood that a reasonable examiner would consider it important in deciding whether to allow the application to issue as a patent, and
- ☒ in compliance with this duty there is attached an information disclosure statement 37 CFR 1.97.

### CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S) UNDER 35 U.S.C. 120

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of the application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application.

---

---

#### PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATION(S) DESIGNATING THE U.S. FOR BENEFIT UNDER 35 USC 120

---

---

U.S. APPLICATION(S)		STATUS (Check One)		
US APPLICATION(S)	US FILING DATE	PATENTED	PENDING	ABANDONED
<input checked="" type="checkbox"/> 60 / 182,630	<u>February 15, 2000</u>	<u>          </u>	<u>  X  </u>	<u>          </u>
<input type="checkbox"/> /	<u>                    </u>	<u>          </u>	<u>          </u>	<u>          </u>
<input type="checkbox"/> /	<u>                    </u>	<u>          </u>	<u>          </u>	<u>          </u>

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): George T. Spitz, et al.

Matter No.

390533

Serial No.

Filing Date

Examiner

Group Art Unit

Not Assigned Yet

Filed Herewith

Not Assigned Yet

Not Assigned Yet

Invention: ALKOXYMETHYL MELAMINE CROSSLINKERS

I hereby certify that this: Utility Patent Application Transmittal (1 page); Fee Transmittal (1 page); Information Disclosure Statement (2 pages); Form 1449 (1 page); Copies of 8 references; Declaration and Oath [unsigned] (7 pages); Specification, including claims and abstract (26 pages) Check for \$710.00; Certificate of Mailing by Express Mail (1 page); and this postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Box: Patent Application, The Assistant Commissioner for Patents, Washington, D.C. 20231 on this 14th day of February, 2001.

Wendy Precht

Name of Depositor



Signature of Depositor

EL331153075US

Express Mail Label No.

